

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		09802163
Filing Date		2001-03-08
First Named Inventor	Christopher Keith	
Art Unit	3692	
Examiner Name	Clement B. Graham	
Attorney Docket Number	IVEN125525	

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	3702007	A	1972-10-31	Davis II	
	2	4346442	A	1982-08-24	Musmanno	
	3	4376978	A	1983-03-15	Musmanno	
	4	4456957	A	1984-06-26	Schieltz	
	5	4823265	A	1989-04-18	Nelson	
	6	5077665	A	1991-12-31	Silverman	
	7	5148365	A	1992-09-15	Dembo	
	8	5253165	A	1993-10-12	Leiseca	

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09802163

09802163 - GAU: 3696

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9	5297031	A	1994-03-22	Guterman	
10	5297032	A	1994-03-22	Trojan	
11	5453601	A	1995-09-26	Rosen	
12	5615269	A	1997-03-25	Micali	
13	5689652	A	1997-11-18	Lupien	
14	5787402	A	1998-07-28	Potter	
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16	5847845	A	1998-12-08	Takahashi	
17	5915245	A	1999-06-22	Patterson, Jr.	
18	5924083	A	1999-07-13	Silverman	
19	5953707	A	1999-09-14	Huang	

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	20	6029146	A	2000-02-22	Hawkins	
	21	6035289	A	2000-03-07	Chou	
	22	6068117	A	2000-05-30	Koehn	
	23	6101484	A	2000-08-08	Halbert	
	24	6131087	A	2000-10-10	Luke	
	25	6160204	A	2000-12-12	Steffens	
	26	6236980	B1	2001-05-22	Reese	
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	28	6285989	B1	2001-09-04	Shoham	
	29	6317727	B1	2001-11-13	May	
	30	6317728	B1	2001-11-13	Kane	

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31	6321212	B1	2001-11-20	Lange	
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33	6359633	B1	2002-03-19	Balasubramaniam	
34	6408282	B1	2002-06-18	Buist	
35	6418419	B1	2002-07-09	Nieboer	
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37	6493682	B1	2002-12-10	Horrigan	
38	6505174	B1	2003-01-07	Keiser	
39	6553346	B1	2003-04-22	Walker	
40	6601044	B1	2003-07-29	Wallman	
41	6625583	B1	2003-09-23	Silverman	

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	42	6629082	B1	2004-09-30	Hambrecht	
	43	6792399	B1	2004-09-14	Phillips	
	44	7058601		2006-06-06	Paiz	

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	1	20030014379	A1	2003-01-16	Saias	

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	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>

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2	HULL, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
3	LIVINGSTON, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < http://proquest.umi.com/pqdweb?index=6&did=52501230&SrchMode=1&sid=21&Fmt=3... > [retrieved November 3, 2005].	<input type="checkbox"/>
5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>

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EXAMINER SIGNATURE

Examiner Signature

/Clement Graham/

Date Considered

12/07/2008

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¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
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(Not for submission under 37 CFR 1.99)**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

- ☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

- ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- ☐ See attached certification statement.
- ☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature /Kevan L. Morgan/

Date (YYYY-MM-DD)

2007-03-09

Name/Print Kevan L. Morgan

Registration Number

42015

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